

TRANSMITTAL FOR U.S. PATENT APPLICATION
UNDER 37 C.F.R. § 1.53(b)

Mail Stop Patent Application

Commissioner of Patents
PO Box 1450
Alexandria, VA 22313-1450

22387 U.S. PTO
10/766965



Dear Sir:

Transmitted herewith for filing is the original patent application of:

Inventor: Thomas J. Daley et al.

Filing Date: January 29, 2004

For: SYSTEM AND METHOD FOR AVOIDING TRANSACTION COSTS
ASSOCIATED WITH TRADING ORDERS

Pursuant to 37 C.F.R. § 1.213(a), Applicants respectfully request that the above-identified patent application not be published under 35 U.S.C. § 122(b). Applicants hereby certify that the invention disclosed in the above-identified application has not been and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.

Enclosed are:

☒ Specification, Claims and Abstract (56 pages)

☒ Drawing(s) (9 Sheets of Formal)

☒ Combined Declaration and Power of Attorney in blank (5 pages)
_____ Newly executed (original)

_____ An Assignment of the invention (____ pages) is attached. A separate cover sheet (____ pages) in compliance with 37 C.F.R. § 3.28 and § 3.31 is included with an Assignment recordal fee of **\$40.00** pursuant to 37 C.F.R. § 1.21(h).

☒ Non-Publication Request (1 page)

☒ This Transmittal (2 pages)

☒ Information Disclosure Statement (1 page), Form PTO-1449 (1 page) with 4 attached references

☒ Certificate of Mailing

☒ Return Receipt Postcard

_____ Verified Statement (___ page)

Applicant is:

☒ Large Entity

_____ Small Entity

The accompanying application is:

☒ Original

_____ Continuation _____ Divisional _____ Continuation-In-Part

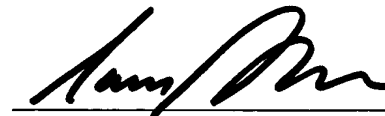
| FEE CALCULATION (LARGE ENTITY) | | | | | FEE |
|--------------------------------|--------|-------|-----------------|------------|------------------------------|
| | Number | | Number Extra | Rate | <u>Basic Fee</u> \$770.00 |
| Total Claims: | 33 | -20 = | 13 | X \$ 18.00 | \$ 234.00 |
| Independent Claims | 3 | - 3 = | 0 | X \$ 86.00 | \$ 0.00 |
| TOTAL FILING FEE = | | | | | \$ 1,004.00 |

☒ Enclosed is a check in the amount of \$1,004.00 for fees.

☒ Please charge any additional fees required by this paper to Deposit Account No. 02-0384 of BAKER BOTTS L.L.P. **A duplicate copy of this sheet is enclosed.**

Respectfully submitted,

BAKER BOTTS L.L.P.
Attorneys for Applicants



Samir A. Bhavsar
Reg. No. 41,617

Dated: January 29, 2004

☒ Customer No. **05073**

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| | | | |
|---|----------------------|--|-------------------------|
| NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i) | First Named Inventor | | Thomas J. Daley, et al. |
| | Title | SYSTEM AND METHOD FOR AVOIDING TRANSACTION COSTS ASSOCIATED WITH TRADING ORDERS | |
| | Atty Docket Number | | 069547.0175 |

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

BAKER BOTTS L.L.P.
Attorneys for Applicants

January 29, 2004

Date



Signature

Samir A. Bhavsar

Typed or printed name
Reg No. 41,617

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicants may rescind this nonpublication request at any time. If applicants rescind a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicants subsequently file an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicants must notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

ATTORNEY DOCKET NO.
069547.0175

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor: Thomas J. Daley et al.
Filing Date: January 29, 2004
For: SYSTEM AND METHOD FOR AVOIDING TRANSACTION
COSTS ASSOCIATED WITH TRADING ORDERS

MAIL STOP PATENT APPLICATION
Commissioner of Patents
PO Box 1450
Alexandria, VA 22313-1450

Dear Sir:

CERTIFICATE OF MAILING BY EXPRESS MAIL

I hereby certify that the attached Fee Transmittal Form (2 pages), a check in the amount of \$1,004.00, Nonpublication Request (1 page), Patent Application (56 pages), Formal Drawings (9 pages), Declaration and Power of Attorney in blank (5 pages), Information Disclosure Statement (1 page), Form PTO-1449 (1 page) with 4 attached references, Baker Botts return postcard (1 postcard), and this Certificate of Mailing are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on this 29th day of January 2004 and is addressed to the Commissioner of Patents, PO Box 1450, Alexandria, VA 22313-1450.



Willie Jiles

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